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SUBSTITUTE DECLARATION FOR PATENT APPLICATION

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name;

I believe I am the original, first and sole inventor (if only one name is listed below), or an original, first and joint inventor (if plural names are listed below) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGY

the specification of which (check one)

\_\_\_\_\_ is attached hereto

X was filed on August 27, 1998  
as application Serial No. 09/141,220

\_\_\_\_\_ and was amended on: \_\_\_\_\_  
(if applicable)

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to the patentability of this application in accordance with Title 37, Code of Federal Regulations, § 1.56(a).

I hereby claim foreign priority benefits under Title 35, United States Code, § 119 of any foreign application(s) for patent or inventor's certificate listed below and have also identified below any foreign application for patent or inventor's certificate having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)			Priority Claimed
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	_____
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	_____
_____ (Number)	_____ (Country)	_____ (Day/Month/Year Filed)	_____

I hereby claim the benefit under Title 35, United States Code § 119(c) of any United States provisional application(s) listed below:

Provisional Application Number	Filing Date	
<u>60/074,590</u> (Number)	<u>February 13, 1998</u> (Day/Month/Year Filed)	
<u>60/074,624</u> (Number)	<u>February 13, 1998</u> (Day/Month/Year Filed)	
<u>60/074,633</u> (Number)	<u>February 13, 1998</u> (Day/Month/Year Filed)	
<u>60/073,283</u> (Number)	<u>January 31, 1998</u> (Day/Month/Year Filed)	(via 09/240,557, filed January 29, 1999 or 09/241,101, filed January 29, 1999 or 09/248,673, filed February 11, 1999)

I hereby claim the benefit under Title 35, United States Code, § 120 of any United States application(s) or PCT international application(s) designating the United States of America listed below and, insofar as the subject matter of each of the claims of the application is not disclosed in the prior United States application in the manner provided by the first paragraph of Title 35, United States Code, § 112, I acknowledge the duty to disclose material information as defined in Title 37, Code of Federal Regulations, § 1.56(a) which occurred between the filing date of the prior application and the national or PCT international filing date of this application:

<u>PCT/US96/15222</u> (Application Serial No.)	<u>September 23, 1996</u> (Filing Date)	<u>Pending</u> Status (patented, pending, abandoned)
<u>08/717,933</u> (Application Serial No.)	<u>September 23, 1996</u> (Filing Date)	<u>Pending</u> Status (patented, pending, abandoned)

As named inventor, I hereby appoint the following attorney(s) and/or agent(s) to prosecute this application and transact all business in the Patent and Trademark Office connected therewith.

Patrea L. Pabst	31,284
Robert A. Hodges	41,074
Kevin W. King	42,737

Send Correspondence to: Patrea L. Pabst, Esq.  
ARNALL GOLDEN & GREGORY LLP  
2800 One Atlantic Center  
1201 W. Peachtree Street  
Atlanta, GA 30309-3450

Direct telephone calls to: Patrea L. Pabst (404) 873-8794

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor Gary A. Bannon

Inventor's signature Gary A. Bannon Date 06-24-99

Residence 714 St. Michael Place, Little Rock, Arkansas 72211

Citizenship United States of America.

Post Office Address 714 St. Michael Place, Little Rock, Arkansas 72211

Full name of second inventor A. Wesley Burks Jr.

Inventor's signature A. Wesley Burks Jr.

Date 6-18-99

Residence 2400 North Pierce, Little Rock, Arkansas 72207

Citizenship United States of America

Post Office Address 2400 North Pierce, Little Rock, Arkansas 72207

Full name of third inventor Hugh A. Sampson

Inventor's signature \_\_\_\_\_

Date \_\_\_\_\_

Residence 19 Carleon Avenue, Larchmont, New York 10538

Citizenship United States of America

Post Office Address 19 Carleon Avenue, Larchmont, New York 10538

Full name of fourth inventor Howard B. Sosin

Inventor's signature \_\_\_\_\_

Date \_\_\_\_\_

Residence 640 Sasco Hill Road, Fairfield, Connecticut 06430

Citizenship United States of America

Post Office Address 640 Sasco Hill Road, Fairfield, Connecticut 06430

U.S.S.N.: 09/141,220  
Filed: August 27, 1998  
SUBSTITUTE DECLARATION

Full name of second inventor A. Wesley Burks Jr.

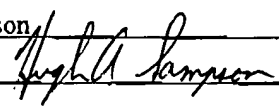
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 2400 North Pierce, Little Rock, Arkansas 72207

Citizenship United States of America

Post Office Address 2400 North Pierce, Little Rock, Arkansas 72207

Full name of third inventor Hugh A. Sampson

Inventor's signature  Date 8/23/99

Residence 19 Carleon Avenue, Larchmont, New York 10538

Citizenship United States of America

Post Office Address 19 Carleon Avenue, Larchmont, New York 10538

Full name of fourth inventor Howard B. Sosin

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 640 Sasco Hill Road, Fairfield, Connecticut 06430

Citizenship United States of America

Post Office Address 640 Sasco Hill Road, Fairfield, Connecticut 06430

Full name of second inventor A. Wesley Burks Jr.

Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 2400 North Pierce, Little Rock, Arkansas 72207

Citizenship United States of America

Post Office Address 2400 North Pierce, Little Rock, Arkansas 72207

Full name of third inventor Hugh A. Sampson

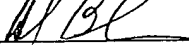
Inventor's signature \_\_\_\_\_ Date \_\_\_\_\_

Residence 19 Carleon Avenue, Larchmont, New York 10538

Citizenship United States of America

Post Office Address 19 Carleon Avenue, Larchmont, New York 10538

Full name of fourth inventor Howard B. Sosin

Inventor's signature  28 June 99 Date \_\_\_\_\_

Residence 640 Sasco Hill Road, Fairfield, Connecticut 06430

Citizenship United States of America

Post Office Address 640 Sasco Hill Road, Fairfield, Connecticut 06430

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**STATEMENT UNDER 37 CFR 3.73(b)**



Applicant/Patent Owner: Gary A. Bannon, A. Wesley Burks, Jr., Hugh A. Sampson, and Howard B. Sosin

Application No./Patent No.: 09/141,220 Filed/Issue Date: August 27, 1998

Entitled: METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGY

University of Arkansas, a

University

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 010065, Frame 0008, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
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☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

**[NOTE:** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

November 9, 1999  
Date

[Signature]  
Signature

Mr. Harold J. Evans  
Assoc. V.P. For Legal Affairs  
University of Arkansas

Title

**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Gary A. Bannon, A. Wesley Burks, Jr., Hugh A. Sampson, and Howard B. Sosin

Application No./Patent No.: 09/141,220 Filed/Issue Date: August 27, 1998

Entitled: METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGY

Panacea Pharmaceuticals, LLC

(Name of Assignee)

a Limited Liability Company

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)



states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 010190, Frame 0516, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

- ☐ Copies of assignments or other documents in the chain of title are attached.

**[NOTE:** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

November 2, 1999

Date

Signature

Howard B. Sosin

Typed or printed name

\_\_\_\_\_  
Title



**STATEMENT UNDER 37 CFR 3.73(b)**

Applicant/Patent Owner: Gary A. Bannon, A. Wesley Burks, Jr., Hugh A. Sampson, and Howard B. Sosin

Application No./Patent No.: 09/141,220 Filed/Issue Date: August 27, 1998

Entitled: METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGY

Mt. Sinai School of Medicine of the City University of New York, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or  
2. ☒ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel 009539, Frame 0550, or for which a copy thereof is attached.

OR

B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
2. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.
3. From: \_\_\_\_\_ To: \_\_\_\_\_  
The document was recorded in the Patent and Trademark Office at  
Reel \_\_\_\_\_, Frame \_\_\_\_\_, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

**[NOTE]:** A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8

The undersigned (whose title is supplied below) is empowered to sign this statement on behalf of the assignee.

November 18th, 1999  
Date

W. Patrick McGrath  
Signature

W. Patrick McGrath, Ph.D.  
Typed or printed name

Director, Office of Industrial Liasion  
Title

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**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

Docket Number (Optional)  
**HS 102**

Applicant, Patentee, or Identifier: Gary A. Bannon, A. Wesley Burks, Jr., Hugh A. Sampson, and Howard B. Sosin

Application or Patent No.: 09/141,220

Filed or Issued: August 27, 1998

Title: METHODS AND REAGENTS FOR DECREASING  
CLINICAL REACTION TO ALLERGY

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION The University of Arkansas

ADDRESS OF NONPROFIT ORGANIZATION 2404 North University Avenue

Little Rock, Arkansas 72207-3608

**TYPE OF NONPROFIT ORGANIZATION:**

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_)  
(CITATION OF STATUTE \_\_\_\_\_)

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
- ☒ each such person, concern, or organization is listed below.

Mt. Sinai School of Medicine of the City University of New York, One Gustave L. Levy Place,  
New York, NY 10029-6574; Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430  
I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING \_\_\_\_\_

Mr. Harold J. Evans

Assoc. V.P. For Legal Affairs

TITLE IN ORGANIZATION OF PERSON SIGNING \_\_\_\_\_

University of Arkansas

2404 North University Avenue

ADDRESS OF PERSON SIGNING \_\_\_\_\_

Little Rock, AR 72207

SIGNATURE \_\_\_\_\_

DATE \_\_\_\_\_

November 9, 1999

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**STATEMENT CLAIMING SMALL ENTITY STATUS**  
**(37 CFR 1.9(f) & 1.27(c))--SMALL BUSINESS CONCERN**

Docket Number (Optional)  
HS 102

Applicant, Patentee, or Identifier: Gary A. Bannon, A. Wesley Burks, Jr.,  
Hugh A. Sampson, and Howard B. Sosin

Application or Patent No.: 09/141,220

Filed or Issued: August 27, 1998

Title: **METHODS AND REAGENTS FOR DECREASING  
CLINICAL REACTION TO ALLERGY**

I hereby state that I am

- ☐ the owner of the small business concern identified below:  
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Panacea Pharmaceuticals, LLC

ADDRESS OF SMALL BUSINESS CONCERN 640 Sasco Hill Road  
Fairfield, Connecticut 06430

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 CFR Part 121 for purposes of paying reduced fees to the United States Patent and Trademark Office. Questions related to size standards for a small business concern may be directed to: Small Business Administration, Size Standards Staff, 409 Third Street, SW, Washington, DC 20416.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.  
☒ the application identified above.  
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d), or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists. The University of Arkansas, 2404 North University Avenue, Little Rock, AR 72207-3608; Mt. Sinai School of Medicine of the City University of New York, One Gustave Levy Place, New York, New York 10029-6574  
☒ each such person, concern, or organization is listed below.

Separate statements are required from each named person, concern or organization having rights to the invention stating their status as small entities. (37 CFR 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING Howard B. Sosin

TITLE OF PERSON IF OTHER THAN OWNER \_\_\_\_\_

ADDRESS OF PERSON SIGNING 640 Sasco Hill Road, Fairfield, CT 06430

SIGNATURE H B Sosin

DATE

Nov 3, 1999

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**STATEMENT CLAIMING SMALL ENTITY STATUS  
(37 CFR 1.9(f) & 1.27(d))--NONPROFIT ORGANIZATION**

Docket Number (Optional)  
**HS 102**

Applicant, Patentee, or Identifier: Gary A. Bannon, A. Wesley Burks, Jr., Hugh A. Sampson, and Howard B. Sosin

Application or Patent No.: 09/141,220

Filed or Issued: August 27, 1998

Title: METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGY

I hereby state that I am an official empowered to act on behalf of the nonprofit organization identified below:

NAME OF NONPROFIT ORGANIZATION Mt. Sinai School of Medicine of the City University of New York

ADDRESS OF NONPROFIT ORGANIZATION One Gustave Levy Place  
New York, New York 10029-6574

**TYPE OF NONPROFIT ORGANIZATION:**

- ☒ UNIVERSITY OR OTHER INSTITUTION OF HIGHER EDUCATION
- ☐ TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))
- ☐ NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_ )  
(CITATION OF STATUTE \_\_\_\_\_ )
- ☐ WOULD QUALIFY AS TAX EXEMPT UNDER INTERNAL REVENUE SERVICE CODE (26 U.S.C. 501(a) and 501(c)(3))  
IF LOCATED IN THE UNITED STATES OF AMERICA
- ☐ WOULD QUALIFY AS NONPROFIT SCIENTIFIC OR EDUCATIONAL UNDER STATUTE OF STATE OF THE UNITED  
STATES OF AMERICA IF LOCATED IN THE UNITED STATES OF AMERICA  
(NAME OF STATE \_\_\_\_\_ )  
(CITATION OF STATUTE \_\_\_\_\_ )

I hereby state that the nonprofit organization identified above qualifies as a nonprofit organization as defined in 37 CFR 1.9(e) for purposes of paying reduced fees to the United States Patent and Trademark Office regarding the invention described in:

- ☐ the specification filed herewith with title as listed above.
- ☒ the application identified above.
- ☐ the patent identified above.

I hereby state that rights under contract or law have been conveyed to and remain with the nonprofit organization regarding the above identified invention. If the rights held by the nonprofit organization are not exclusive, each individual, concern, or organization having rights in the invention must file separate statements as to their status as small entities and that no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person made the invention, or by any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e).

Each person, concern, or organization having any rights in the invention is listed below:

- ☐ no such person, concern, or organization exists.
- ☒ each such person, concern, or organization is listed below.
- The University of Arkansas, 2404 North University Avenue, Little Rock, Arkansas 72207-3608
- Panacea Pharmaceuticals, LLC, 640 Sasco Hill Road, Fairfield, Connecticut 06430

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

NAME OF PERSON SIGNING W. Patrick McGrath, Ph.D.

TITLE IN ORGANIZATION OF PERSON SIGNING Director, Office of Industrial Liaison

ADDRESS OF PERSON SIGNING 1 Gustave L. Levy Place, Box 1675, New York, NY 10128

SIGNATURE W. Patrick McGrath DATE November 18, 1999



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office

ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

SEPTEMBER 21, 1999

PTAS

ARNALL GOLDEN & GREGORY, LLP  
PATREA L. PABST, ESQ.  
2800 ONE ATLANTIC CENTER  
1201 WEST PEACHTREE STREET  
ATLANTA, GEORGIA 30309-3450



\*101132947A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

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RECORDATION DATE: 04/23/1999

REEL/FRAME: 010065/0008  
NUMBER OF PAGES: 5

BRIEF: CORRECTIVE ASSIGNMENT TO CORRECT THE ASSIGNEE ADDRESS, FILED ON 10-22-98 RECORDED ON REEL 9539, FRAME 0559 ASSIGNOR HEREBY CONFIRMS THE ASSIGNMENT OF THE ENTIRE INTEREST

ASSIGNOR:  
BURKS, A WESLEY, JR.

DOC DATE: 09/14/1998

ASSIGNOR:  
BANNON, GARY A.

DOC DATE: 09/14/1998

ASSIGNEE:  
ARKANSAS, UNIVERSITY OF  
2404 NORTH UNIVERSITY AVENUE  
LITTLE ROCK, ARKANSAS 72207-3608

SERIAL NUMBER: 09141220  
PATENT NUMBER:

FILING DATE: 08/27/1998  
ISSUE DATE:

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SEP 28 1999

PATENT DEPT.

DOCKETED FOR HS102  
BY JSH  
DATE 10-1-99

010065/0008 PAGE 2

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ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

09-21-1999

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**



101132947

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☐ Resubmission (Non-Recordation)

☐ Document ID#

☐ Correction of PTO Error

☐ Reel #  Frame #

☒ Corrective Document

☒ Reel # 9539 Frame # 0559

**Conveyance Type**

☒ Assignment      ☐ Security Agreement  
☐ License      ☐ Change of Name  
☐ Merger      ☐ Other \_\_\_\_\_

**U.S. Government**  
(For Use ONLY by U.S. Government Agencies)

☐ Departmental File      ☐ Secret File

**Conveying Party(ies)**

Name (line 1) Burks, A. Wesley, Jr.

Name (line 2)

### Second Party

Name (line 1)	Bannon, Gary A.
---------------	-----------------

Name (line 2)

**Receiving Party**

Name (line 1) University of Arkansas

Name June 29

Address (line 1) 2404 North University Avenue

**Address (line 2)**

Address (unless) Little Rock

Arkansas

72207-3608

**Domestic Representative Name and Address**

**Enter for the first Receiving Party only.**

Nanie  
Wodgett (1914 S)

**Address (Title V)**

**Address Line 2**

Address (line 1)

**Address (Time 4)**

04/27/1999 DNGUYEN 00000337 09141820

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Small documents to be reported with required cover sheet(s) information to:  
Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

HB102  
11008/6

MRD 10-22-98

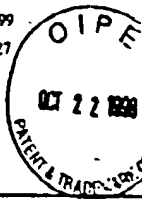
FORM PTO-1619A  
Expires 06/30/99  
OMB 0651-0027

10-30-1998



100865673

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**



# RECORDATION FORM COVER SHEET PATENTS ONLY

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

## Submission Type

- ☒ New  
☐ Resubmission (Non-Recordation)  
 Document ID#   
☐ Correction of PTO Error  
 Reel #  Frame #   
☐ Corrective Document  
 Reel #  Frame #

## Conveyance Type

- ☒ Assignment ☐ Security Agreement  
☐ License ☐ Change of Name  
☐ Merger ☐ Other   
 U.S. Government  
 (For Use ONLY by U.S. Government Agencies)  
☐ Departmental File ☐ Secret File

## Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1) A. Wesley Burks, Jr.

Name (line 2)

Execution Date  
Month Day Year

09141998

## Second Party

Name (line 1) Gary A. Bannon

Name (line 2)

Execution Date

09141998

## Receiving Party

☐ Mark if additional names of conveying parties attached

Name (line 1) University of Arkansas

Name (line 2)

Address (line 1) 2404 North University Avenue

Address (line 2)

Address (line 3) Little Rock

AK

72207-3808

City

State/Country

Zip Code

If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

## Domestic Representative Name and Address

Enter the first Receiving Party only.

10/26/1998 BUCKETT, MOD 037 09141998

02 FC:581 Address (line 1) 40.66 1st

Address (line 2)

Address (line 3)

Address (line 4)

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Public notice regarding the collection of information is published in advance approximately 30 days prior to the collection of information. This notice is published in the Federal Register and in the Patent and Trademark Office, Chief Information Officer, Washington, D.C. 20231 and in the Office of Information and Regulatory Affairs, Office of Management and Budget, Paperwork Reduction Project (0651-0027), Washington, D.C. 20503. See 0651-0027, Patent and Trademark Assignment Practice. See 0651-0027, PATENT AND TRADEMARK ASSIGNMENT PRACTICE. DOCUMENTS TO THIS ADDRESS.

This document is to be recorded with required cover sheet information to  
 Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231



FORM PTO-1619B  
Expires 06/30/99  
OMB 0851-0027

Page 2

U.S. Department of Commerce  
Patent and Trademark Office  
**PATENT**

**Correspondent Name and Address**Area Code and Telephone Number **(404) 873-8794**Name **Patrea L. Pabst, Esq.**Address (line 1) **ARNALL GOLDEN & GREGORY, LLP**Address (line 2) **2800 One Atlantic Center**Address (line 3) **1201 West Peachtree Street**Address (line 4) **Atlanta, Georgia 30309-3450****Pages**

Enter the total number of pages of the attached conveyance document including any attachments.

# **3****Application Number(s) or Patent Number(s)**☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

**09141220**

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

**Patent Cooperation Treaty (PCT)**Enter PCT application number  
only if a U.S. Application Number  
has not been assigned.

PCT

PCT

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PCT

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**Number of Properties**

Enter the total number of properties involved.

# **1****Fee Amount**Fee Amount for Properties Listed (37 CFR 3.41): \$ **40.00**Method of Payment:  
Deposit AccountEnclosed ☒Deposit Account ☒

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# **01-2507**

Authorization to charge additional fees:

Yes

☒

No

☐**Statement and Signature**

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

**Patrea L. Pabst**

Name of Person Signing

Signature

Date

HS102  
11008/6

<b>Correspondent Name and Address</b>		Area Code and Telephone Number		404 873 8794																		
Name <u>Patrea L. Pabst, Esq.</u>																						
Address (Line 1) <u>ARNALL GOLDEN &amp; GREGORY, LLP</u>																						
Address (Line 2) <u>2800 One Atlantic Center</u>																						
Address (Line 3) <u>1201 West Peachtree Street</u>																						
Address (Line 4) <u>Atlanta, GA 30309-3450</u>																						
<b>Pages</b> Enter the total number of pages of the attached conveyance document including any attachments. <div style="float: right; border: 1px solid black; padding: 2px 10px;">3</div>																						
<b>Application Number(s) or Patent Number(s)</b> <div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 60%;"> <p style="font-size: small;">Enter either the Patent Application or the Patent Number (DO NOT ENTER BOTH numbers for the same property).</p> <p style="font-size: x-small;">Patent Application Number(s)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="padding: 2px;">00141228</td><td style="width: 50px;"></td><td style="width: 50px;"></td></tr> <tr><td style="height: 20px;"></td><td></td><td></td></tr> <tr><td style="height: 20px;"></td><td></td><td></td></tr> </table> </div> <div style="width: 35%; text-align: center;"> <p style="font-size: x-small;">Patent Number(s)</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td style="height: 20px;"></td><td style="width: 50px;"></td><td style="width: 50px;"></td></tr> <tr><td style="height: 20px;"></td><td></td><td></td></tr> <tr><td style="height: 20px;"></td><td></td><td></td></tr> </table> </div> </div> <p style="font-size: x-small; margin-top: 5px;">If this document is being filed together with a new Patent Application, enter the date the patent application was filed by the first named inventor here.</p> <div style="text-align: right; margin-top: 5px;"> <p style="font-size: x-small;">Mark Day Year</p> <div style="border: 1px solid black; width: 100px; height: 20px; margin: 0 auto;"></div> </div>					00141228																	
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<b>Patent Cooperation Treaty (PCT)</b> <p style="font-size: x-small;">Enter PCT application number only if a U.S. Application Number has not been assigned.</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 20%; text-align: center;">PCT</td> <td style="width: 20%; border: 1px solid black; height: 20px;"></td> <td style="width: 20%; text-align: center;">PCT</td> <td style="width: 20%; border: 1px solid black; height: 20px;"></td> <td style="width: 20%; text-align: center;">PCT</td> <td style="width: 20%; border: 1px solid black; height: 20px;"></td> </tr> <tr> <td style="text-align: center;">PCT</td> <td style="border: 1px solid black; height: 20px;"></td> <td style="text-align: center;">PCT</td> <td style="border: 1px solid black; height: 20px;"></td> <td style="text-align: center;">PCT</td> <td style="border: 1px solid black; height: 20px;"></td> </tr> </table>					PCT		PCT		PCT		PCT		PCT		PCT							
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<b>Number of Properties</b> <p style="font-size: x-small; text-align: center;">Enter the total number of properties involved.</p> <div style="text-align: right; margin-top: 5px;"> <div style="border: 1px solid black; padding: 2px 10px;">1</div> </div>																						
<b>Fee Amount</b> <p style="font-size: x-small; text-align: center;">Fee Amount for Properties (total 37 CFR 2.412)</p> <div style="display: flex; justify-content: space-between; align-items: flex-start;"> <div style="width: 60%;"> <p>Method of Payment: Enclosed <input checked="" type="checkbox"/> Deposit Account <input type="checkbox"/></p> <p style="font-size: x-small;">Deposit Account</p> <p style="font-size: x-small;">(Enter fee payment by deposit account or if additional fees can be charged to the account.)</p> <p style="font-size: x-small; text-align: center;">Deposit Account Number:</p> <p style="font-size: x-small; text-align: center;">Authorization to charge additional fees:</p> </div> <div style="width: 35%; text-align: right;"> <p style="margin-top: 10px;">48.00</p> <p style="margin-top: 20px;">01-2507</p> <p style="margin-top: 5px;">Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></p> </div> </div>																						
<b>Statement and Signature</b> <p style="font-size: x-small; margin-top: 5px;">To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.</p> <div style="display: flex; justify-content: space-between; align-items: flex-end; margin-top: 10px;"> <div style="width: 40%;"> <p>Patrea L. Pabst</p> <p style="border-bottom: 1px solid black; width: 100%;"></p> <p style="font-size: x-small; text-align: center;">Name of Person Signing</p> </div> <div style="width: 20%; text-align: center;"> <p style="font-size: x-small;">Signature</p> </div> <div style="width: 30%; text-align: right;"> <p>October 18, 1998</p> <p style="border-bottom: 1px solid black; width: 100%;"></p> <p style="font-size: x-small;">Date</p> </div> </div>																						

596683

HS 102  
11008/6

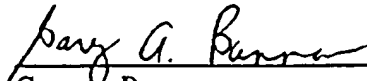
## ASSIGNMENT

We, A. Wesley Burks Jr., of 2400 North Pierce, Little Rock, Arkansas 72207, and Gary A. Bannon of 714 St. Michael Place, Little Rock, Arkansas 72211, in consideration of Ten Dollars and other valuable consideration paid to us by the University of Arkansas, a public institution of higher education of the state of Arkansas, having its principal place of business at 2404 North University Avenue, Little Rock, Arkansas 72207-3608, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said University of Arkansas, its successors and assigns, the entire interest for the United States of America and its territories and all foreign countries and jurisdictions, including all rights of priority under the International Convention for the Protection of Industrial Property in a certain invention or improvement in *"METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGY"* described in U.S. Patent Application Serial No. 09/141,220, filed August 27, 1998, by Gary A. Bannon, A. Wesley Burks Jr., Hugh A. Sampson, and Howard Sosin, in the United States Patent and Trademark Office, and in all Letters Patent of the United States and its territories and all foreign countries and jurisdictions which may or shall be granted on said invention, or any parts thereof, or on said application, or any divisional, continuation, continuation-in-part, reissue or other applications based in whole or in part thereon. And we agree, for ourselves and our executors and administrators, with said institution and its successors and assigns but at its or their expense or charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and its territories and in all other foreign countries and jurisdictions to said institution, with specifications and claims in such form as shall be approved by the counsel of said institution and to vest and confirm in said institution, its successors and assigns, the legal title to all such patents.

And we do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said institution, its successors and assigns.


U.S.S.N.: 09/141,220  
Filed: August 27, 1998  
Assignment

WITNESS my hand and seal this 14th day of September, 1998

  
\_\_\_\_\_  
Gary A. Bannon

State of Arkansas            )  
County of Pulaski        )ss.

Then personally appeared the above named Gary A. Bannon and acknowledged the foregoing instrument to be his free act and deed, before me, this 14th day of September, 1998.

  
\_\_\_\_\_  
Notary Public - Iva G. McKinnie

My Commission expires 4-1-2000

U.S.S.N.: 09/141,220  
Filed: August 27, 1998  
Assignment

WITNESS my hand and seal this 14<sup>th</sup> day of September, 1998.

A. Wesley Burks, Jr.  
A. Wesley Burks, Jr.

State of Arkansas           )  
County of Pulaski       )ss.

Then personally appeared the above named A. Wesley Burks, Jr. and acknowledged the foregoing instrument to be his free act and deed, before me, this 14<sup>th</sup> day of September, 1998.

Iva G. McKinnie  
Notary Public - Iva G. McKinnie

My Commission expires 4-1-2000

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Gary A. Bannon, A. Wesley Burks, Hugh Sampson, and Howard Sosin

Serial No.: 09/141,220

Group Art Unit: 1641

Filed: August 27, 1998

Examiner: Pelley, R.

For: *METHODS AND REAGENTS FOR DECREASING CLINICAL  
REACTION TO ALLERGY*

U.S. Patent and Trademark Office  
Assignment Division  
Box Assignments, CG-4  
1213 Jefferson Davis Highway  
Suite 310  
Washington, D.C. 20231

010065

0008

9

REQUEST FOR CORRECTED NOTICE OF RECORDATION  
OF ASSIGNMENT — APPLICANTS' ERROR

Sir:

Applicants respectfully request a corrected Notice of Recordation of the Assignment recorded October 22, 1998, at Reel 9539, Frame 0559, in the above-identified application. Through the undersigned's error, an incorrect abbreviation for the state location of assignee was inserted on Form PTO-1619A. The correct state abbreviation is AR, for Arkansas.

To facilitate this request, applicants enclose a corrected Notice of Recordation, Form PTO-1619A, a copy of the Assignment, and a check in the amount of \$40.00 for the recordation fee.

Applicants believe no additional fees are due at this time. However, the Commissioner is authorized to credit any overpayment or charge any other fees due in connection with this matter

2/18/99  
9539

U.S.S.N.: 09/141,220  
Filed: August 27, 1998  
REQUEST FOR CORRECTED NOTICE OF RECORDATION  
OF ASSIGNMENT — APPLICANTS' ERROR

to Deposit Order Account No. 01-2507. A duplicate of this transmittal is enclosed to facilitate this process.

Respectfully submitted,



---

Patrea L. Pabst  
Reg. No. 31,284

Date: April 20, 1999

ARNALL GOLDEN & GREGORY, LLP  
2800 One Atlantic Center  
1201 West Peachtree Street  
Atlanta, Georgia 30309-3450  
404/873-8794  
404/873-8795 (fax)

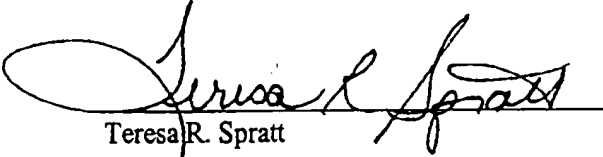
U.S.S.N.: 09/141,220

Filed: August 27, 1998

REQUEST FOR CORRECTED NOTICE OF RECORDATION  
OF ASSIGNMENT --- APPLICANTS' ERROR

**CERTIFICATE OF MAILING UNDER 37 C.F.R. §1.8(a)**

I hereby certify that this Request for Corrected Notice of Recordation of Assignment --- Applicants' Error, together with any paper referred to as being attached or enclosed, is being deposited with the United States Postal Service on the date shown below with sufficient postage as first-class mail in an envelope addressed to U.S. Patent & Trademark Office, Assignment Division, Box Assignments, CG-4, 1213 Jefferson Davis Highway, Suite 310, Washington, D.C. 20231.

  
Teresa R. Spratt

Date: April 20, 1999





UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

OCTOBER 27, 1999

PTAS

ARNELL GOLDEN & GREGORY, LLP  
PATREA L. PABST, ESQ.  
1201 WEST PEACHTREE STREET  
2800 ONE ATLANTIC CENTER  
ATLANTA, GA 30309-3450



\*101128729A\*

UNITED STATES PATENT AND TRADEMARK OFFICE  
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THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 08/26/1999

REEL/FRAME: 010190/0516  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
SOSIN, HOWARD

DOC DATE: 07/12/1999

ASSIGNEE:  
PANACEA PHARMACEUTICALS, LLC  
640 SASCO HILL ROAD  
FAIRFIELD, CONNECTICUT 06430

SERIAL NUMBER: 09141220  
PATENT NUMBER:

FILING DATE: 08/27/1998  
ISSUE DATE:

KIMBERLY WHITE, EXAMINER  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

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PATENT DEPT

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101128729

U.S. Department of Commerce  
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Document ID#   
☐ Correction of PTO Error  
Reel #  Frame #   
☐ Corrective Document  
Reel #  Frame #

Conveyance Type

☒ Assignment ☐ Security Agreement  
☐ License ☐ Change of Name  
☐ Merger ☐ Other   
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☐ Departmental File ☐ Secret File

Conveying Party(ies)

☐ Mark if additional names of conveying parties attached  
Execution Date  
Month Day Year  
07121999

Name (line 1) Sosin, Howard

Name (line 2)

Second Party

Name (line 1)

Name (line 2)

Execution Date  
Month Day Year

Receiving Party

☐ Mark if additional names of receiving parties attached

☐ If document to be recorded is an assignment and the receiving party is not domiciled in the United States, an appointment of a domestic representative is attached. (Designation must be a separate document from Assignment.)

Name (line 1) Panacea Pharmaceuticals, LLC

Name (line 2)

Address (line 1) 640 Sasco Hill Road

Address (line 2)

Address (line 3) Fairfield

Connecticut

06430

City

State/Country

Zip Code

Domestic Representative Name and Address

Enter for the first Receiving Party only.

Name

Address (line 1)

Address (line 2)

Address (line 3)

Address (line 4)

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08/27/1999 MTHAI1 00000093 09141220

01 FC:581

40.00 QP

**Correspondent Name and Address**

Area Code and Telephone Number **(404) 873-8794**

Name **Patrea L. Pabst, Esq.**

Address (line 1) **Arnall Golden & Gregory, LLP**

Address (line 2) **2800 One Atlantic Center**

Address (line 3) **1201 West Peachtree Street**

Address (line 4) **Atlanta, GA 30309-3450**

**Pages**

Enter the total number of pages of the attached conveyance document including any attachments.

# **1**

**Application Number(s) or Patent Number(s)**

☐ Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

**Patent Application Number(s)**

**Patent Number(s)**

**09141220**

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

**Patent Cooperation Treaty (PCT)**

Enter PCT application number  
only if a U.S. Application Number  
has not been assigned.

PCT

PCT

PCT

PCT

PCT

PCT

**Number of Properties**

Enter the total number of properties involved.

# **1**

**Fee Amount**

Fee Amount for Properties Listed (37 CFR 3.41): \$ **40.00**

Method of Payment:  
Deposit Account

Enclosed ☒

Deposit Account ☒

(Enter for payment by deposit account or if additional fees can be charged to the account.)

Deposit Account Number:

# **01-2507**

Authorization to charge additional fees:

Yes

☒

No

☐

**Statement and Signature**

*To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.*

**Patrea L. Pabst**

Name of Person Signing  
Reg. No.: 31,284

Signature


Date

## ASSIGNMENT

I, Howard Sosin of 640 Sasco Hill Road, Fairfield, CT 06430, in consideration of Ten Dollars and other valuable consideration paid to me by Panacea Pharmaceuticals, LLC, a Delaware limited liability company, having its principal place of business at 640 Sasco Hill Road, Fairfield, CT 06430, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said Panacea Pharmaceuticals, LLC, its successors and assigns, the entire interest for the United States of America and its territories and all foreign countries and jurisdictions, including all rights of priority under the International Convention for the Protection of Industrial Property in a certain invention or improvement in "*METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGY*" described in U.S. Patent Application Serial No. 09/141,220, filed August 27, 1998, by Gary A. Bannon, A. Wesley Burks Jr., Hugh A. Sampson, and Howard Sosin, in the United States Patent and Trademark Office, and in all Letters Patent of the United States and its territories and all foreign countries and jurisdictions which may or shall be granted on said invention, or any parts thereof, or on said application, or any divisional, continuation, continuation-in-part, reissue or other applications based in whole or in part thereon. And I agree, for myself and my executors and administrators, with said corporation and its successors and assigns but at its or their expense or charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and its territories and in all other foreign countries and jurisdictions to said corporation, with specifications and claims in such form as shall be approved by the counsel of said corporation and to vest and confirm in said corporation, its successors and assigns, the legal title to all such patents.

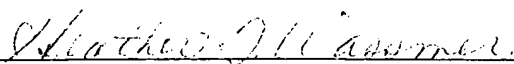
And I do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said corporation, its successors and assigns.

WITNESS my hand and seal this 12<sup>th</sup> day of July, 1999.

  
\_\_\_\_\_  
Howard Sosin

State of Connecticut            )  
County of Fairfield        )       ss.

Then personally appeared the above named Howard Sosin and acknowledged the foregoing instrument to be his free act and deed, before me, this 12<sup>th</sup> day of July, 1999.

  
\_\_\_\_\_  
Notary Public

My Commission expires 5/31/01



UNITED STATES DEPARTMENT OF COMMERCE  
Patent and Trademark Office  
ASSISTANT SECRETARY AND COMMISSIONER  
OF PATENTS AND TRADEMARKS  
Washington, D.C. 20231

AUGUST 11, 1999

PTAS

ARNALL GOLDEN & GREGORY, LLP  
PATREA L. PABST, ESQ.  
2800 ONE ATLANTIC CENTER  
1201 WEST PEACHTREE STREET  
ATLANTA, GA 30309-3450



\*101094021A\*

**CORRECTED  
NOTICE**

UNITED STATES PATENT AND TRADEMARK OFFICE  
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

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PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 10/22/1998

REEL/FRAME: 009539/0550  
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
SAMPSON, HUGH A.

DOC DATE: 09/16/1998

ASSIGNEE:  
MT. SINAI SCHOOL OF MEDICINE OF  
THE CITY UNIVERSITY OF NY  
ONE GUSTAVE LEVY PLACE  
NEW YORK, NEW YORK 10029-6574

SERIAL NUMBER: 09141220  
PATENT NUMBER:

FILING DATE: 08/27/1998  
ISSUE DATE:

SEDLEY PYNE, PARALEGAL  
ASSIGNMENT DIVISION  
OFFICE OF PUBLIC RECORDS

**RECEIVED**

AUG 24 1999

PATENT DEPT.

DOCKETED FOR H8102  
BY JSH  
DATE 8-26-99

MRD 10-22-98

FORM PTO-1619A

Expires 06/30/99

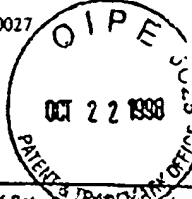
OMB 0651-0027

08-10-1999

U.S. Department of Commerce

Patent and Trademark Office

PATENT

101094021  
RECORDATION  
PATENTS ONLY

TO: The Commissioner of Patents and Trademarks: Please record the attached original document(s) or copy(ies).

## Submission Type

- ☒ New  
☐ Resubmission (Non-Recordation)

Document ID#

- ☐ Correction of PTO Error

Reel #

Frame #

- ☐ Corrective Document

Reel #

Frame #

## Conveyance Type

- ☒ Assignment  
☐ License  
☐ Security Agreement  
☐ Change of Name

- ☐ Merger

- ☐ Other

U.S. Government

(For Use ONLY by U.S. Government Agencies)

- ☐ Departmental File

- ☐ Secret File

## Conveying Party(ies)

☐ Mark if additional names of conveying parties attached

Name (line 1) Hugh A. Sampson

Name (line 2)

Execution Date  
Month Day Year

09161998

## Second Party

Name (line 1)

Name (line 2)

Execution Date

## Receiving Party

☐ Mark if additional names of conveying parties attached

Name (line 1) Mt. Sinai School of Medicine of the City University of NY

Name (line 2)

Address (line 1) One Gustave Levy Place

Address (line 2)

Address (line 3) New York

NY

10029-6574

City

State/Country

Zip Code

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## Domestic Representative Name and Address

Enter the first Receiving Party only.

10/26/1998 GUCKETT 0000027 09161226

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Mail documents to be recorded with required cover sheet(s) information to:

Commissioner of Patents and Trademarks, Box Assignments, Washington, D.C. 20231

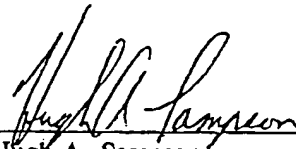
<b>Correspondent Name and Address</b>		Area Code and Telephone Number <div style="border: 1px solid black; padding: 2px; display: inline-block;">404 873 8794</div>																								
Name	<div style="border: 1px solid black; padding: 2px;">Patrea L. Pabst, Esq.</div>																									
Address (line 1)	<div style="border: 1px solid black; padding: 2px;">ARNALL GOLDEN &amp; GREGORY, LLP</div>																									
Address (line 2)	<div style="border: 1px solid black; padding: 2px;">2800 One Atlantic Center</div>																									
Address (line 3)	<div style="border: 1px solid black; padding: 2px;">1201 West Peachtree Street</div>																									
Address (line 4)	<div style="border: 1px solid black; padding: 2px;">Atlanta, GA 30309-3450</div>																									
<b>Pages</b> Enter the total number of pages of the attached conveyance document including any attachments. <div style="text-align: right; margin-top: 5px;"><div style="border: 1px solid black; padding: 2px 10px;">1</div></div>																										
<b>Application Number(s) or Patent Number(s)</b> <small>Enter either the Patent Application or the Patent Number (DO NOT ENTER BOTH numbers for the same property).</small> <div style="text-align: right; margin-top: 5px;"><input type="checkbox"/> Mark if additional numbers attached</div> <table style="width: 100%; border-collapse: collapse;"><thead><tr><th colspan="3" style="text-align: left; padding-bottom: 5px;">Patent Application Number(s)</th><th colspan="3" style="text-align: left; padding-bottom: 5px;">Patent Number(s)</th></tr></thead><tbody><tr><td style="border: 1px solid black; padding: 2px;">09141220</td><td style="border: 1px solid black; width: 100px;"></td><td style="border: 1px solid black; width: 100px;"></td><td style="border: 1px solid black; width: 100px;"></td><td style="border: 1px solid black; width: 100px;"></td><td style="border: 1px solid black; width: 100px;"></td></tr><tr><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td></tr><tr><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td><td style="border: 1px solid black;"></td></tr></tbody></table> <div style="margin-top: 10px;"><small>If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.</small><div style="text-align: right; margin-top: 5px;"><div style="border: 1px solid black; padding: 2px 20px;"></div></div></div>			Patent Application Number(s)			Patent Number(s)			09141220																	
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<b>Patent Cooperation Treaty (PCT)</b> <small>Enter PCT application number only if a U.S. Application Number has not been assigned.</small> <table style="width: 100%; border-collapse: collapse;"><tr><td style="text-align: right; padding-right: 10px;">PCT</td><td style="border: 1px solid black; width: 100px;"></td><td style="text-align: right; padding-right: 10px;">PCT</td><td style="border: 1px solid black; width: 100px;"></td><td style="text-align: right; padding-right: 10px;">PCT</td><td style="border: 1px solid black; width: 100px;"></td></tr><tr><td style="text-align: right; padding-right: 10px;">PCT</td><td style="border: 1px solid black;"></td><td style="text-align: right; padding-right: 10px;">PCT</td><td style="border: 1px solid black;"></td><td style="text-align: right; padding-right: 10px;">PCT</td><td style="border: 1px solid black;"></td></tr></table>			PCT		PCT		PCT		PCT		PCT		PCT													
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<b>Fee Amount</b> <small>Fee Amount for Properties Listed (37 CFR 3.41):</small> <div style="text-align: right; margin-top: 5px;"><div style="border: 1px solid black; padding: 2px 10px;">40.00</div></div> <table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 30%;"><b>Method of Payment:</b></td><td style="width: 30%;">Enclosed <input checked="" type="checkbox"/></td><td style="width: 30%;">Deposit Account <input type="checkbox"/></td></tr></table> <div style="margin-top: 5px;"><small>Deposit Account</small></div> <div style="margin-top: 5px;"><small>(Enter for payment by deposit account or if additional fees can be charged to the account.)</small></div> <div style="margin-top: 10px;"><small>Deposit Account Number:</small><div style="text-align: right; margin-top: 5px;"><div style="border: 1px solid black; padding: 2px 10px;">01-2507</div></div></div> <div style="margin-top: 5px;"><small>Authorization to charge additional fees:</small><div style="text-align: right; margin-top: 5px;"><div style="display: inline-block; text-align: center;">Yes <input checked="" type="checkbox"/> No <input type="checkbox"/></div></div></div>			<b>Method of Payment:</b>	Enclosed <input checked="" type="checkbox"/>	Deposit Account <input type="checkbox"/>																					
<b>Method of Payment:</b>	Enclosed <input checked="" type="checkbox"/>	Deposit Account <input type="checkbox"/>																								
<b>Statement and Signature</b> <small>To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.</small> <div style="margin-top: 20px;"><table style="width: 100%; border-collapse: collapse;"><tr><td style="width: 30%; border-bottom: 1px solid black; padding-bottom: 5px;">Patrea L. Pabst</td><td style="width: 40%; border-bottom: 1px solid black; padding-bottom: 5px;"></td><td style="width: 30%; border-bottom: 1px solid black; padding-bottom: 5px;">October 19, 1998</td></tr><tr><td style="text-align: center; padding-top: 5px;">Name of Person Signing</td><td style="text-align: center; padding-top: 5px;">Signature</td><td style="text-align: center; padding-top: 5px;">Date</td></tr></table></div>			Patrea L. Pabst		October 19, 1998	Name of Person Signing	Signature	Date																		
Patrea L. Pabst		October 19, 1998																								
Name of Person Signing	Signature	Date																								

## ASSIGNMENT

I, Hugh A. Sampson of 19 Carleon Avenue, Larchmont, New York 10538, in consideration of Ten Dollars and other valuable consideration paid to me by Mt. Sinai School of Medicine of the City of University of New York, a corporation of the state of New York, having its principal place of business at One Gustave L. Levy Place, New York, New York, 10029-6574, the receipt of which is hereby acknowledged, do hereby sell, assign and transfer unto said Mt. Sinai of Medicine of the City of University of New York, its successors and assigns, the entire interest for the United States of America and its territories and all foreign countries and jurisdictions, including all rights of priority under the International Convention for the Protection of Industrial Property in a certain invention or improvement in "*METHODS AND REAGENTS FOR DECREASING CLINICAL REACTION TO ALLERGY*" described in U.S. Patent Application Serial No. 09/141,220, filed August 27, 1998, by Gary A. Bannon, A. Wesley Burks Jr., Hugh A. Sampson, and Howard Sosin, in the United States Patent and Trademark Office, and in all Letters Patent of the United States and its territories and all foreign countries and jurisdictions which may or shall be granted on said invention, or any parts thereof, or on said application, or any divisional, continuation, continuation-in-part, reissue or other applications based in whole or in part thereon. And I agree, for myself and my executors and administrators, with said corporation and its successors and assigns but at its or their expense or charges, hereafter to execute all applications, amended specifications, deeds or other instruments, and to do all acts necessary or proper to secure the grant of Letters Patent in the United States and its territories and in all other foreign countries and jurisdictions to said corporation, with specifications and claims in such form as shall be approved by the counsel of said corporation and to vest and confirm in said corporation, its successors and assigns, the legal title to all such patents.

And I do hereby authorize and request the Commissioner of Patents and Trademarks of the United States to issue such Letters Patent as shall be granted upon said application or applications based thereon to said corporation, its successors and assigns.

WITNESS my hand and seal this 16<sup>TH</sup> day of SEPTEMBER, 1998.

  
 \_\_\_\_\_  
 Hugh A. Sampson

State of New York                     )  
 County of                               )ss.

Then personally appeared the above named Hugh A. Sampson and acknowledged the foregoing instrument to be his free act and deed, before me, this 16 day of Sept. 1998, 1998.

**SANDRA ORTEGA**  
 Notary Public, State of New York  
 No. 010R5076278  
 Qualified in Queens County  
 Commission Expires April 21, 1999

  
 \_\_\_\_\_  
 Notary Public

My Commission expires 4/21/99



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Gary A. Bannon, A. Wesley Burks, Hugh Sampson, and Howard Sosin

Serial No.: 09/141,220

Group Art Unit: 1641

Filed: August 27, 1998

Examiner: Pelley, R.

For: *METHODS AND REAGENTS FOR DECREASING CLINICAL  
REACTION TO ALLERGY*

U.S. Patent and Trademark Office  
Assignment Division  
Box Assignments, CG-4  
1213 Jefferson Davis Highway  
Suite 310  
Washington, D.C. 20231

**REQUEST FOR CORRECTED NOTICE OF RECORDATION  
OF ASSIGNMENT — PTO ERROR**

Sir:

Applicants respectfully request a corrected Notice of Recordation of the Assignment recorded October 22, 1998, at Reel 9539, Frame 0550, in the above-identified application. The Patent Office incorrectly recorded the name of assignee and the zip code for assignee's address. The correct name for assignee is Mt. Sinai School of Medicine of the City University of New York. The correct zip code is 10029-6574.

To facilitate this request, applicant encloses a copy of the incorrect Notice of Recordation, with the changes marked in red, a copy of Form PTO-1619A, and a copy of the Assignment.

U.S.S.N.: 09/141,220

Filed: August 27, 1998

REQUEST FOR CORRECTED NOTICE OF RECORDATION  
OF ASSIGNMENT — PTO ERROR

Applicants believe no fee is due at this time. However, the Commissioner is authorized to credit any overpayment or charge any other fees due in connection with this matter to Deposit Order Account No. 01-2507. A duplicate of this transmittal is enclosed to facilitate this process.

Respectfully submitted,



---

Patrea L. Pabst  
Reg. No. 31,284

Date: April 22, 1999

ARNALL GOLDEN & GREGORY, LLP  
2800 One Atlantic Center  
1201 West Peachtree Street  
Atlanta, Georgia 30309-3450  
404/873-8794  
404/873-8795 (fax)

**ARNALL GOLDEN & GREGORY, LLP**

A PARTNERSHIP INCLUDING PROFESSIONAL CORPORATIONS

2800 ONE ATLANTIC CENTER  
1201 WEST PEACHTREE STREET • ATLANTA, GEORGIA 30309-3450

TELEPHONE (404) 873-8500 • FACSIMILE (404) 873-8501

SENDER'S DIRECT FAX (404) 873-8103

**FROM:** Celia Phillips  
**PHONE:** 404-870-5723**DATE:** August 10, 1999  
**CLIENT/MATTER #:** 11008/6**PLEASE DELIVER AS SOON AS POSSIBLE TO:**

RECIPIENT	COMPANY	FAX NO.	PHONE NO.
1. Dorothy Riley	U.S. Patent and Trademark Office Assignment Division	(703) 308-7124	(703) 308-9723

Total number of pages including this page: 7.  
If you do not receive all the pages, please call 404-873-8500.

U.S.S.N. 09/141,220  
Filed: August 27, 1998

Dear Ms. Riley:

Responsive to our telephone conversation today, attached is the Notice of Recordation, Recordation Form Cover Sheet, and Assignment in the above-identified application. You will note on the Request for a Corrected Notice of Recordation of Assignment, attached behind the Assignment, that there were two errors to be corrected. The name of assignee was corrected, but the zip code was not.

Please correct the zip code to read "10029-6574".

Thank you.



THIS MESSAGE IS INTENDED ONLY FOR THE USE OF THE INDIVIDUAL OR ENTITY TO WHICH IT IS ADDRESSED, AND MAY CONTAIN INFORMATION THAT IS PRIVILEGED, CONFIDENTIAL AND EXEMPT FROM DISCLOSURE UNDER APPLICABLE LAW. IF THE READER OF THIS MESSAGE IS NOT THE INTENDED RECIPIENT, OR THE EMPLOYEE OR AGENT RESPONSIBLE FOR DELIVERING THE MESSAGE TO THE INTENDED RECIPIENT, YOU ARE HEREBY NOTIFIED THAT ANY DISSEMINATION, DISTRIBUTION OR COPYING OF THIS COMMUNICATION IS STRICTLY PROHIBITED. IF YOU HAVE RECEIVED THIS COMMUNICATION IN ERROR, PLEASE NOTIFY US IMMEDIATELY BY TELEPHONE, AND RETURN THE ORIGINAL MESSAGE TO US AT THE ABOVE ADDRESS VIA THE U.S. POSTAL SERVICE. THANK YOU.